



Denny Hoskins
Secretary of State
State of Missouri

Securities Division • 600 W. Main, Rm. 229 • PO Box 1276
Jefferson City, MO 65102

State Covered Investment Adviser Affidavit

I, _____, do hereby swear and affirm that I am a principal of _____ (“the applicant”) and I hereby make the following representation on behalf of the applicant, after having thoroughly searched all applicable records that:

Designation of Chief Compliance Officer: The Chief Compliance Officer named below has applied for registration and meets the examination requirements specified in MO 15 CSR 30-51.030(2)(C) and will serve in the capacity of Chief Compliance Officer for the applicant.

Name

CRD Number

(Mark only one of the three boxes below)

☐

The applicant has never had any clients that reside in the State of Missouri.

☐

The applicant has maintained accounts for the following clients (attach a list of names, addresses, and telephone numbers of all Missouri clients, as well as the date each account was opened):

☐

The applicant has been registered as an investment adviser with the Securities and Exchange Commission and has been conducting business in Missouri as a federal covered adviser. Applicant became ineligible for federal registration on _____ and will not conduct advisory business in Missouri until it has received registration as a state covered adviser.

(Principal’s Signature)

Subscribed and sworn to before me this _____ day of _____ 20 _____

(Notary Public)

My Commission expires: _____